

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
14846-30

In Re Application Of: **ANDREW DODDINGTON**

Serial No.

TBA

Filing Date

October 30, 2003

Examiner

TBA

Group Art Unit

TBA

Invention: **GRAPHICAL SOFTWARE TOOL FOR MODELING FINANCIAL PRODUCTS**

TO THE COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

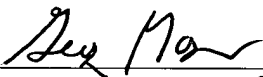
Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.



Signature

Dated: **October 30, 2003**

**George Morgan, Esq., (Reg. No. 46,505)
LOWENSTEIN SANDLER PC
65 Livingston Avenue
Roseland, NJ 07068
973-597-2500**

Certificate of Mailing by First Class Mail

I certify that this document is being deposited on
October 30, 2003 with the U.S. Postal Service as first
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Commissioner for Patents, P.O. Box 1450, Alexandria, VA
22313-1450.



Signature of Person Mailing Correspondence

Kelly Billingsley

Typed or Printed Name of Person Mailing Correspondence

CC:

INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>				ATTY DOCKET NO. 14846-30		SERIAL NO. TBA	
				Graphical Software Tool For Modeling Financial Products			
				FILING October 30, 2003		GROUP TBA	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	1	DOCUMENT NUMBER US 4,674,042	DATE 6/16/87	NAME Hernandez et al.	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	2	US 4,859,187	8/22/89	Peterson			
	3	US 5,093,907	3/3/92	Hwong et al.			
	4	US 5,245,535	9/14/93	Weis et al.			
	5	US 5,381,470	1/10/95	Cambray et al.			
	6	US 5,396,621	3/7/95	Mac Gregor et al.			
	7	US 5,502,805	3/26/96	Anderson et al.			
	8	US 5,623,591	4/22/97	Cseri			
	9	US 5,657,437	8/12/97	Bishop et al.			
	10	US 5,657,460	8/12/97	Egan et al.			
	11	US 5,664,127	9/2/97	Anderson et al.			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	12	EP-0597316	5/18/94	EP			
	13	WO-02069212	9/6/02	WO			
	14	WO-002256	1/13/00	WO			
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
		Spreadsheet Mapper, www.panopticon.com GS-Calc 6.0.1.1, from download.com TCS 4.20 from download.com					
		Davenport, G. Harper, Numbers-a medium that counts (spreadsheet software), (Abstract) J.D. Computer Graphics and Applications, IEEE					
EXAMINER				DATE CONSIDERED			

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	15	US 5,675,746	10/7/97	Marshall			
	16	US 5,721,847	2/24/98	Johnson			
	17	US 5,768,158	6/16/98	Adler et al.			
	18	US 5,774,878	6/30/98	Marshall			
	19	US 6,008,817	12/28/99	Gilmore Jr.			
	20	US 6,073,115	6/6/00	Marshall			
	21	US 6,078,901	6/20/00	Ching			
	22	US 6,092,050	7/18/00	Lungren et al.			
	23	US 6,097,391	8/1/00	Wilcox			
	24	US 6,185,582	2/6/01	Zellweger et al.			
	25	US 6,188,403	2/13/01	Sacerdoti et al.			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
		Synder, D.E. McNeese, M.D., Zaff, B.S., Identifying design requirements using integrated analysis structures, (Abstract) Aerospace and Electronics Conference, 1991, NAECON, 1991					
		Gottfried, H.J. Burnett, M.M.; Graphical definitions: making spreadsheets visual through direct manipulation and gestures, Visual Languages, (Abstract) 1997. Proceedings. 1997 IEEE Symposium.					
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	26	US 6,188,405	2/13/01	Czerwinski et al.			
	27	US 6,195,092	2/27/01	Dhond et al.			
	28	US 6,205,453	3/20/01	Tucker et al.			
	29	US 6,222,557	4/24/01	Pulley IV et al.			
	30	US 6,243,093	6/5/01	Czerwinski et al.			
	31	US 6,256,649	7/3/01	Mackinlay et al.			
	32	US 6,271,863	8/7/01	Bose et al.			
	33	US 6,282,551	8/28/01	Anderson et al.			
	34	US 6,317,750	11/13/01	Tortolani et al.			
	35	US 6,347,307	2/12/02	Sandhu et al.			
	36	US 6,360,188	3/19/02	Freidman et al.			
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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
			Buchner, J. Fehnl, T. Kunstmann, T.: HotDoc: a flexible framework for spatial composition, (Abstract) Visual Languages, 1997. Proceedings. 1997 IEEE Symposium.				
			Spoerri, A.; Visual tools for information retrieval, (Abstract) Visual Languages, 1993, Proceedings 1993 IEEE Symposium.				
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	37	US 6,363,393	3/26/02	Ribitzky			
	38	US 6,405,204	6/11/02	Baker et al.			
	39	US 6,496,832	12/17/02	Chi et al.			
	40	US 6,597,379	7/22/03	Morris et al.			
	41	2002/0007330	1/17/02	Kumar et al.			
	42	2002/0067373	6/6/02	Roe et al.			
	43	2002/0073005	6/13/02	Wellnicki et al.			
	44	2002/0078086	6/20/02	Alden et al.			
	45	2002/0133383	9/19/02	Chao et al.			
	46	2002/0147668	10/10/02	Smith et al.			
	47	2003/0009411	1/9/03	Ram et al.			
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		Chi, E.H. Riedl, J. Barry, P. Konstan, J.A.; Principles for information visualization spreadsheets, (Abstract) Computer Graphics and Applications, IEEE.					
		Stolte, C. Tang, D. Hanrahan, P.; Polaris: a system for query, analysis, and visualization of multidimensional relational databases, (Abstract) Visualization and Computer Graphics, IEEE Transactions.					
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